

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION REPORTS

Last Name	First Name and Middle Initial	Annual Report Calendar Year Covered by Report:	Senate Office / Agency in Which Employed
Grassley	Charles E.	2009	US Senator for Iowa
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report Termination Date (mm/dd/yy):	Prior Office / Agency in Which Employed
135 Hart Senate Office Building Washington, DC 20510	202/224-3744	NA	NA

## AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, Complete and Attach PART I.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$335 from one source)? If Yes, Complete and Attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? If Yes, Complete and Attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, Complete and Attach PART VII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, Complete & Attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, Complete and Attach PART VIII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, Complete and Attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, Complete and Attach PART IX.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If Yes, Complete and Attach PART V.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your <u>FIRST</u> Report: Did you receive compensation of more than \$5,000 from a single source in the <u>two</u> prior years? If Yes, Complete and Attach PART X.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

**Each question must be answered and the appropriate PART attached for each "YES" response.**

**File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.**

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, 104, and 18 U.S.C. 1001.)

**FOR OFFICIAL USE ONLY  
Do Not Write Below this Line**

<b>Certification</b> I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	<b>Signature of Reporting Individual</b> 	<b>Date (Month, Day, Year)</b> May 13, 2010
--	--	--

**For Official Use Only - Do Not Write Below This Line**

<b>It is the Opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.</b>	<b>Signature of Reviewing Official</b>  	<b>Date (Month, Day, Year)</b>  
--	--	--

RECEIVED  
 SECRETARY OF THE SENATE  
 10 MAY 17 PM 3:00

Reporting Individual's Name

Charles E. Grassley

**PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA**

Page Number

1

Report the source (name and address), date, and amount of any payment from each source to a charitable organization made in lieu of honoraria to you during the reporting period. Identify the activity (speech, article, or appearance), which generated the payment. For further information, see Instructions.

**Note:** Travel expenses in excess of \$335 related to activities giving rise to these payments must be reported in Part VI, Reimbursements.

Date of Payment		Name of Source	Address (City, State)		Speech, Article, or Appearance	Amount
Example:	3/26/0X	Association of American Associations	Wash., DC	EXAMPLE	Speech EXAMPLE	\$1,000
	7/23/0X	XYZ Magazine	NY, NY	EXAMPLE	Article EXAMPLE	\$500
1	4/28/09	Burlington Noon Lions Club	Burlington, IA		Speech-October, 2008	\$100.00
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						

A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

## PART II. EARNED AND NON-INVESTMENT INCOME

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

**Individuals not covered by the Honoraria Ban:**

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

Name of Income Source		Address (City, State)	Type of Income	Amount
Example:	JP Computers	Wash., DC	Salary	\$15,000
	MCI (Spouse)	Arlington, VA	Salary	Over \$1,000
1	Chambers, Conlon & Hartwell (Spouse)	Washington, DC	Salary	Over \$1,000
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

## Type of Income

## Amount of Income

your dependent child, (See p.3, <b>CONTENTS OF REPORTS Part B of Instructions</b> ) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period. Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.		Amount of income												Type of income																			
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000
Example: S, DC, or J	IBM Corp. (stock)			X										X							Example		X										Example
	(S) Keystone Fund				X													X			Example	X										Example	
1	Raymond James Bank Program Freedom Acct.-Formerly Raymond James & Assoc. Elite Cash -Client Interest Program																		X														
3	Alliance Bernstein Mun. Inc. Nat'l. FD-ADV CLS N/L		X															X						X									
4	Baron Growth Fund N/L		X															X				X											
5	Columbia Marsico Focused Equities Fund-Class A M/F		X															X				X											
6	DWS RREEF Global Real Estate Securities Fd Class A M/F		X															X					X										
7	Davis New York Venture Fund-Class A		X															X				X											
8	Eagle Small Cap Core Value Fund-Class I N/L		X															X					X										
9																																	
10																																	

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

**BLOCK A**  
**Identity of Publicly Traded Assets**  
**And Unearned Income Sources**

**Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:**

(1) had a value exceeding \$1,000 at the close of the reporting period; and/or

(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

### Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

**BLOCK C**  
**Type and Amount of Income**

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

[illegible]

**EXEMPTION TEST** (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
 \*\*\* This category applies only if the asset is not held in a qualified plan or IRA.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		Amount of income											Type of income											Amount of income										
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
S, Example: DC, or J	IBM Corp. (stock)				X										X							Example		X										Example
	(S) Keystone Fund					X												X				Example	X										Example	
1	Pimco Commodity Real Return Strategy Fund Class A M/F		X															X																
2	T. Rowe Price Summit Municipal Income Fund Class A M/F			X														X						X										
3	Wells Fargo Advantage International Value Fd Admin CI N/L		X															X					X											
4	RJ Bank Deposit Program		X														X						X											
5	RJ Bank Deposit Program-Formerly RJ Elite Cash Client Interest Program																																	
6	Aim Large Cap Growth Fund-Class A	X																X					X											
7	Alliance Bernstein Growth & income Fund-Class B	X																X					X											
8	Alliance Bernstein Large Cap Growth Fund-Class A	X																X					X											
9	Allianz CCM Capital Appreciation Fund-Class A	X																X					X											
10	Allianz OCC Targe Fund-Class A	X																X					X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		Amount of income											Amount of income											Actual Amount Required if "Other" Specified											
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)		\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	
Example:	S, DC, or J	IBM Corp. (stock)																						Example											Example
	(S)	Keystone Fund																						Example	X										Example
1	Munder Internet Fund-Class A	X																	X					X											
2	Putnam Internation Equity Fund-Class A	X																	X					X											
3	Nuveen Prem. Income Mun. Fund 2		X																X					X											
4	Uninvested Cash			X																				X											
5	Raymond James Bank Deposit Program			X																				X											
6	RJ Bank Deposit Program-SEP IRA																																		
7	AIM Large Cap Growth-Class A	X																	X					X											
8	AIM Capital Development Fund-Class A	X																	X					X											
9	Alliance Bernstein Growth & Income-Class A	X																	X					X											
10	Alliance Bernstein Growth & Income-Class B	X																	X					X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		Type of Income											Amount of Income																					
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J		IBM Corp. (stock)													X								Example		X									Example
		(S) Keystone Fund																		X				Example	X									Example
1	Alliance Bernstein Large Cap Growth Fund-Class A	X																	X			Example	X											
2	Putnam Investors-Class A	X																	X				X											
3	Putnam International Equity-Class A	X																	X				X											
4	Hartford Capital Appreciation-Class B	X																	X				X											
5	Discover Bank, Greenwood, DE-Certificate of Deposit			X													X							X										
6	Sterling Bank, Lantana, FL-Certificate of Deposit	X															X							X										
7	TransAmerica Flexible Inc. Fund-Class B-Formerly TA IDEX TransAmerica																																	
	Convertible Securities Fund		X																X				X											
9	Black Rock Dividend Achievers			X															X					X										
10	Great Southern Bank, Green Springs-Certificate of Deposit	X															X						X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

S, Example: DC, or J		IBM Corp. (stock)																																																																
		(S)	Keystone Fund																																																															
				X																	X																Example		X																Example											
					X																			X																Example	X																Example									
1	Raymond James Bank Deposit Program-																																																																	
	SEP IRA Freedom Account																																																																	
3	Aston/River Road Small Cap Value Fund-Class 1 N/L		X																														X																	X																
4	Baron Growth Fund N/L		X																														X																	X																
5	Columbia Marsico Focused Equities Fund Class A M/F		X																														X																	X																
6	DWS RREEF Global Real Estate Securities Fnd.-Class A M/F			X																													X																		X															
7	Davis New York Venture Fund-Class A M/F		X																														X																	X																
8	Eaton Vance Large Cap Value Fund-Class A M/F			X																													X																	X																
9	EuroPacific Growth Fund-Class F-1-American Funds N/L		X																														X																	X																
10	Goldman Sachs High Yield Fund-Class A M/F			X																													X																	X																

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		Amount of income												Amount of income												Actual Amount Required if "Other" Specified							
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500		\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000
Example: S, DC, or J		IBM Corp. (stock)												Example												Example							
		(S) Keystone Fund												Example												Example							
1	Harbor International Growth Fund-Institutional Class N/L	X																	X			Example	X										Example
2	Hartford Midcap Fund-Class A M/F	X																	X				X										
3	Perkins Mid Cap Value Fund -Class A M/F-Janus	X																	X			Example	X										
4	JP Morgan Core Bond Fund-Class A M/F		X																X					X									
5	Laudus Rosenberg Int. Discovery Fund Select			X															X					X									
6	MFS Research Fund -Class A M/F			X															X					X									
7	Neuberger Berman Genesis Fund Investor Class N/L	X																	X				X										
8	Pimco Total Return Fund-Class A M/F		X																X					X									
9	Pimco Commodity Real Return Strategy Fund-Class A M/F			X															X					X									
10	T. Rowe Price Int. Bond Fund Advisor Class N/L	X																	X					X									

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, **CONTENTS OF REPORTS Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		Amount of income												Amount of income												Actual Amount Required if "Other" Specified							
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500		\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000
S, IBM Corp. (stock)				X										X								Example	X										Example
Example: DC, or J (S) Keystone Fund					X													X				Example	X										Example
1	Thornburg Value Fund Class I N/L	X																X					X										
2	Wells Fargo Advantage Int. Value Fund Admin. Class N/L	X																X					X										
3	RJ Bank Deposit Program	X															X					X											
4	RJ Bank Deposit Program-IRA																																
5	TransAmerica Flexible Income Fund-Class B-Formerly TransAmerica																																
	Convertible Securities Fund	X																X				X											
7	Black Rock Divident Achievers-IRA	X																X					X										
8	Aim Charter Fund-Class A	X																X				X											
9	RJ Bank Deposit Program	X															X					X											
10	New York Life Insurance	X												X								X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		Amount of income												Amount of income												Actual Amount Required if "Other" Specified										
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500		\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000		
Example:	S, DC, or J	IBM Corp. (stock)													X									Example	X											Example
	(S)	Keystone Fund																			X				Example	X										Example
1	Ohio National Life Insurance	X												X									X													
2	Ohio National Life Insurance	X												X									X													
3	New York Life Insurance	X												X									X													
4	ING 401k																																			
5	ING Index Plus Large Cap Port-1				X														X				X													
6	ING Fidelity VIP Contrafund Port-Svc				X														X						X											
7	ING Fixed Account				X														X				X													
8	Columbia Mid Cap Value Fund-Class A		X																X					X												
9	Allianz NFJ Dividend Value Fund-Inst				X														X							X										
10	Pioneer Equity Income Fund-R		X																X				X													

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		Type of income												Amount of income																						
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		
Example:	S, DC, or J	IBM Corp. (stock)														X								Example		X										Example
	(S)	Keystone Fund																X								Example	X									
1	ING 401k-Continued																																			
2	American Funds Growth Fnd.-Formerly The Growth Fund of America R3		X																X						X											
3	The American Funds Group																																			
4	American Mutual Fund 03		X																X						X											
5	College Savings Iowa for Grandchildren- managed by Vanguard																																			
6	Money Market Portfolio			X															X							X										
7	Conservative Growth Portfolio			X															X							X										
8	Conservative Income Portfolio		X																X				X													
9	Money Market Portfolio			X															X							X										
10	Conservative Growth Portfolio			X															X							X										

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p. 3, *CONTENTS OF REPORTS Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
Example: S,	IBM Corp. (stock)				X									X								Example	X											Example
Example: DC,	(S) Keystone Fund				X													X				Example	X											Example
1	College Savings Iowa for Grandchildren-managed by Vanguard-Continued																																	
2	Conservative Income Portfolio		X																X				X											
3	AXA Equitable Accumulator Variable Annuity				X														X					X										
4	State Bank & Trust Company			X												X							X											
5																																		
6																																		
7																																		
8																																		
9																																		
10																																		

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

## Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of Instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

## Type of Income

## Amount of Income

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
			X										X							Example		X										Example
				X								X								Example	X											Example
1	X											X								Combined		X										
2	X																			Farm	X											
3																				In- come												
4						X														\$216, 159												
5				X																Com- bined												
6						X														Farm												
7				X																Ex- pense												
8						X														\$101, 817												
9						X														Net In- come												
10						X														\$114, 342												

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

## Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or  
(2) generated over \$200 in "unearned" income during the reporting period.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

Example: DC, JP Computer, Software Design, Wash DC  
or J Undeveloped land, Dubuque, Iowa

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
Check the first column.

## BLOCK C

## Type and Amount of Income

If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

## Type of Income

## Amount of Income

		BLOCK B Valuation of Assets										BLOCK C Type and Amount of Income																					
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Type of Income							Amount of Income												
														Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
Example: DC, or J	JP Computer, Software Design, Wash DC			X										X								Example	X										Example
	Undeveloped land, Dubuque, Iowa				X																	Example	X										Example
1	Sec. 15, Rng. 15-118 A					X																											
2	Sec. 16, Rng. 15-40 A				X																												
3	20-year Contract-Sale of 2 Acre Farmstead to Robin & Diane Grassley		X												X						Property Sale		X										Plus \$1,000
4																																	Principal yr
5																																	
6																																	
7																																	
8																																	
9																																	
10																																	

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

## Transaction Type (x)

Purchase	Sale	Exchange
----------	------	----------

Transaction Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
--------------------	---------------------	----------------------	-----------------------	-----------------------	-------------------------	---------------------	---------------------------	----------------------------	-----------------------------	-------------------

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

X										
	X									

1 Sterling Bank, Lantana FL-(CD-Matured and Redeemed) SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

2 Great Southern Bank, Reeds Springs - SEP IRA

X										
---	--	--	--	--	--	--	--	--	--	--

3 Great Southern Bank, Reeds Springs - SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

4 AIM Capitol Development-Class A - SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

5 Alliance Bernstein Large Cap Growth Fund-Class A-SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

6 Alliance Bernstein Growth &amp; Income Fund - Class A-SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

7 Alliance Bernstein Growth &amp; Income Fund - Class B-SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

8 Hartford Capital Appreciate Fund - Class B-SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

9 AIM Large Cap Growth Fund-Class A-SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

10 Putnam Investors-Class A-SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

11 Putnam International Equity Fund-Class A-SEP IRA

	X									
--	---	--	--	--	--	--	--	--	--	--

12 Harbor Int. Growth Fund Institutional Class N/L-Freedom

X										
---	--	--	--	--	--	--	--	--	--	--

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

Transaction  
Type (x)

Purchase

Sale

Exchange

Transaction  
Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

\$1,001 - \$15,000

\$15,001 - \$50,000

\$50,001 - \$100,000

\$100,001 - \$250,000

\$250,001 - \$500,000

\$500,001 - \$1,000,000

Over \$1,000,000\*\*\*

\$1,000,001 - \$5,000,000

\$5,000,001 - \$25,000,000

\$25,000,001 - \$50,000,000

Over \$50,000,000

1	Perkins Mid Cap Value Fund-Class A-Freedom	X			2/1/0X		X				E	X	A	M	P	L	E
2	Laudus Rosenberg Int. Discovery Fund Select-Freedom	X			1/27/0X				X	E	X	A	M	P	L	E	
3	Neuberger Berman Genesis Fund Investor Class N/L-Freedom	X			1/7/09	X											
4	Nuveen High Yield Municipal Bond Fund Class I N/L-Freedom	X			1/7/09	X											
5	T. Row Price Summit Municipal Income Fund N/L-Freedom	X			1/7/09	X											
6	Barron Growth Fund N/L-Freedom	X			1/9/09	X											
7	Columbia Marsico Focused Equities Fund-Class A M/F-Freedom	X			1/9/09	X											
8	Davis New York Venture Fund-Class A M/F-Freedom	X			1/9/09	X											
9	DWS RREEF Global Real Estate Securities Fnd.-Class A M/F-Freedom	X			1/9/09	X											
10	Eagle Large Cap Core Fund Class I N/L-Freedom	X			1/9/09	X											
11	Eaton Vance Large Cap Value Fund.-Class A M/F-Freedom	X			1/9/09	X											
12	EuroPacific Growth Fund-Class F1-American Funds N/L-Freedom	X			1/9/09	X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
 \*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

Transaction  
Type (x)

Purchase

Sale

Exchange

Transaction  
Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

\$1,001 - \$15,000

\$15,001 - \$50,000

\$50,001 - \$100,000

\$100,001 - \$250,000

\$250,001 - \$500,000

\$500,001 - \$1,000,000

Over \$1,000,000\*\*\*

\$1,000,001 - \$5,000,000

\$5,000,001 - \$25,000,000

\$25,000,001 - \$50,000,000

Over \$50,000,000

1 Goldman Sachs Municipal Income-Class A-Freedom

X

1/9/09

X

2 Hartford Midcap Fund-Class A-M/F-Freedom

X

1/9/09

X

3 MFS Research Fund-Class A-Freedom

X

1/9/09

X

4 Pimco Commodity Real Return Strategy Fund-Class A M/F-Freedom

X

1/9/09

X

5 Wells Fargo Advantage International Value Fnd. Admin CL N/L-Freedom

X

1/9/09

X

6 Davis New York Venture Fund-Class A M/F-Freedom

X

3/20/09

X

7 Eagle Fmall Cap Core Value Fund-Class I N/L-Freedom

X

3/20/09

X

8 Alliance Bernstein Municipal Income National Fnd. Adv. Cls N/L-Freedom

X

3/26/09

X

9 Goldman Sachs Municipal Income A-Freedom

X

3/26/09

X

10 Harbor Int. Growth Fund Institutional Class N/L-Freedom

X

7/20/09

X

11 Perkins Mid Cap Value Fund-Class A M/F-Janus-Freedom

X

7/20/09

X

12 Laudus Rosenberg Int. Discovery Fund Select-Freedom

X

7/20/09

X

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

Transaction  
Type (x)

Purchase

Sale

Exchange

Transaction  
Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

\$1,001 - \$15,000

\$15,001 - \$50,000

\$50,001 - \$100,000

\$100,001 - \$250,000

\$250,001 - \$500,000

\$500,001 - \$1,000,000

Over \$1,000,000\*\*\*

\$1,000,001 - \$5,000,000

\$5,000,001 - \$25,000,000

\$25,000,001 - \$50,000,000

Over \$50,000,000

1	Nuveen High Yield Municipal Bond Fnd.-Class I N/L-Freedom
2	T. Rowe Price Summit Municipal Inc. Fund N/L-Freedom
3	Alliance Bernstein Municipal Inc. Natl. Fnd. Adv Cls N/L-Freedom
4	Baron Growth Fund N/L-Freedom
5	Columbia Marsico Focused Equities Fnd.-Class A M/F-Freedom
6	Davis New York Venture Fund-Class A M/F-Freedom
7	Eagle Large Cap Core Fund Class I N/L-Freedom
8	Eagle Small Cap Core Value Fund-Class I N/L-Freedom
9	EuroPacific Growth Fund Class F1-American Funds N/L-Freedom
10	Hartford Midcap Fund-Class A M/F-Freedom
11	MFS Research Fund-Class A M/F-Freedom
12	Pimco Commodity Real Return Strategy Fund-Class A M/F-Freedom

X			2/1/0X		X				E	X	A	M	P	L	E
	X		1/27/0X				X	E	X	A	M	P	L	E	
X			7/20/09	X											
X			7/20/09	X											
X			7/22/09	X											
X			7/22/09	X											
X			7/22/09	X											
X			7/22/09	X											
X			7/22/09	X											
X			7/22/09	X											
X			7/22/09	X											
X			7/22/09	X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐



## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S, Example: DC, or J	IBM Corp. (stock) NYSE				X			2 / 1 / 0X			X			E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC					X		1 / 27 / 0X					X	E	X	A	M	P	L	E
1	Neuberger Berman Genesis Fund Investor Class N/L-SEP IRA Freedom				X			1/12/09		X										
2	T. Rowe Price Int. Bond Fund Advisor Class N/L-SEP IRA Freedom				X			1/12/09		X										
3	Baron Growth Fund N/L-SEP IRA Freedom				X			1/14/09		X										
4	Columbia Marsico Focused Equities Fund-Class A M/F-SEP IRA Freedom				X			1/14/09		X										
5	Davis New York Venture Fund Class A M/F-SEP IRA Freedom				X			1/14/09		X										
6	DWS RREEF Global Real Estate Securities Fnd.-Class A M/F-SEP IRA Freedom				X			1/14/09		X										
7	Eaton Vance Large Cap Value Fund-Class A-SEP IRA Freedom				X			1/14/09		X										
8	EuroPacific Growth Fund Class F1-American Fund N/L-SEP IRA Freedom				X			1/14/09		X										
9	Goldman Sachs High Yield Fund-Class A M/F-SEP IRA Freedom				X			1/14/09		X										
10	Hartford MidCap Fund-Class A M/F-SEP IRA Freedom				X			1/14/09		X										
11	JP Morgan Core Bond Fund Class A M/F-SEP IRA Freedom				X			1/14/09		X										
12	MFS Research Fund-Class A M/F-SEP IRA Freedom				X			1/14/09		X										

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

## Transaction Type (x)

Transaction Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.		Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
		Purchase	Sale	Exchange												
Identification of Assets																
S, Example: DC, or J	IBM Corp. (stock) NYSE	X			2 / 1 / 0X		X									
	(DC) Microsoft (stock) NASDAQ/OTC		X		1 / 27 / 0X				X	E	X	A	M	P	L	E
1	DWS RREEF Global Real Estate Securities Fnd.-Class A-M/F-SEP IRA Freedom	X			8/27/09	X										
2	Eaton Vance Large Cap Value Fnd. -Class A M/F-SEP IRA Freedom	X			8/27/09	X										
3	EuroPacific Growth Fund-Class F1-Am. Funds N/L-SEP IRA Freedom	X			8/27/09	X										
4	Goldman Sachs High Yield Fund-Class A M/F-SEP IRA Freedom	X			8/27/09	X										
5	Hartford Midcap Fund-Class A M/F-SEP IRA Freedom	X			8/27/09	X										
6	JP Morgan Core Bond Fund-Class A M/F-SEP IRA Freedom	X			8/27/09	X										
7	MFS Research Fund-Class A M/F-SEP IRA Freedom	X			8/27/09	X										
8	Pimco Commodity Real Return Strategy Fund-Class A M/F-SEP IRA Freedom	X			8/27/09	X										
9	Pimco Total Return Fund-Class A M/F-SEP IRA Freedom	X			8/27/09	X										
10	Thornburg Value Fund Class I N/L-SEP IRA Freedom	X			8/27/09	X										
11	Wells Fargo Advantage Int. Value Fnd. Admin. CL N/L-SEP IRA Freedom	X			8/27/09	X										
12	Aston/River Road Small Cap Value Fund-Class I N/L-SEP IRA Freedom	X			11/19/2009	X										

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.					Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Purchase	Sale	Exchange																	
Identification of Assets																			
Example: S, DC, or J	IBM Corp. (stock) NYSE				X			2 / 1 / 0X		X			E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC					X		1 / 27 / 0X				X	E	X	A	M	P	L	E
1	Pimco Commodity Real Return Strategy Fund-Class A M/F-SEP IRA Freedom				X			1/14/09	X										
2	Pimco Total Return Fund-Class A M/F-SEP IRA Freedom				X			1/14/09	X										
3	Thornburg Value Fund Class I N/L-SEP IRA Freedom				X			1/14/09	X										
4	Wells Fargo Advantage International Value Fnd. Admin. CI N/L-SEP IRA Freedom				X			1/14/09	X										
5	Aston/River Road Small Cap Value Fund Class I N/L-SEP IRA Freedom				X			3/20/09	X										
6	Davis New York Venture Fund-Class A M/F-SEP IRA Freedom					X		3/20/09	X										
7	Thornburgh Value Fund Class I N/L-SEP IRA Freedom					X		3/20/09	X										
8	Aston/River Road Small Cap Value Fund Class I N/L-SEP IRA Freedom				X			6/19/09	X										
9	Laudus Rosenberg Int. Discovery Fund Select-SEP IRA Freedom				X			6/19/09	X										
10	Neuberger Berman Genesis Fund Investor Class N/L-SEP IRA Freedom				X			6/19/09	X										
11	T. Rowe Price Int. Bond Fund Advisor Class N/L-SEP IRA Freedom				X			6/19/09	X										
12	Columbia Marsico Focused Equities Fund-Class A M/F-SEP IRA Freedom				X			6/19/09	X										

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

					Amount of Transaction (x)									
					Transaction Type (x)			Transaction Date (Mo., Day, Yr.)						
					Purchase	Sale	Exchange							
								\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***
								\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000			
					X			2 / 1 / 0X		X		E	X	A
						X		1 / 27 / 0X			X	E	X	A
1	DWS RREEF Global Real Estate Securities Fund-Class A M/F-SEP IRA Freedom				X			6/23/09	X					
2	Eaton Vance Large Cap Value Fund Class A M/F-SEP IRA Freedom				X			6/23/09	X					
3	Hartford Midcap Fund Class A M/F-SEP IRA Freedom				X			6/23/09	X					
4	JP Morgan Core Bond Fund Class A M/F-SEP IRA Freedom				X			6/23/09	X					
5	Pimco Total Return Fund Class A M/F-SEP IRA Freedom				X			6/23/09	X					
6	Aston/River Road Small Cap Value Fund Class I N/L-SEP IRA Freedom				X			8/25/09	X					
7	Harbor International Growth Fund Institutional Class N/L-SEP IRA Freedom				X			8/25/09	X					
8	Perkins Mid Cap Value Fund Class A M/F-Janus-SEP IRA Freedom				X			8/25/09	X					
9	Laudys Rosenbert Int. Discovery Fund Select-SEP IRA Freedom				X			8/25/09	X					
10	Neuberger Berman Genesis Fund Investor Class N/L-SEP IRA Freedom				X			8/25/09	X					
11	T. Rowe Price Int. Bond Fund Advisor Class N/L-SEP IRA Freedom				X			8/25/09	X					
12	Baron Growth Fund N/L-SEP IRA Freedom				X			8/27/09	X					

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.				Transaction Type (x)			Transaction Date (Mo., Day, Yr.)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																									</
--	--	--	--	----------------------	--	--	-------------------------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	----

**EXEMPTION TEST** (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
 \*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

## Transaction Type (x)

Purchase

Sale

Exchange

Transaction Date  
(Mo., Day, Yr.)

## Amount of Transaction (x)

\$1,001 - \$15,000

\$15,001 - \$50,000

\$50,001 - \$100,000

\$100,001 - \$250,000

\$250,001 - \$500,000

\$500,001 - \$1,000,000

Over \$1,000,000\*\*\*

\$1,000,001 - \$5,000,000

\$5,000,001 - \$25,000,000

\$25,000,001 - \$50,000,000

Over \$50,000,000

S,  
Example: DC,  
or J

IBM Corp. (stock) NYSE

(DC) Microsoft (stock) NASDAQ/OTC

X

2/1/0X

X

E

X

A

M

P

L

E

X

1/27/0X

X

E

X

A

M

P

L

E

1 Hartford Midcap Fund-Class A M/F-SEP IRA Freedom

X

11/23/09

X

2 JP Morgan Core Bond Fund-Class A M/F-SEP IRA Freedom

X

11/23/09

X

3 Pimco Commodity Real Return Strategy Fund Clall A M/F-SEP IRA Freedom

X

11/23/09

X

4 Pimco Total Return Fund-Class A M/F-SEP IRA Freedom

X

11/23/09

X

5 Thornburg Value Fund Class I N/L-SEP FRA Freedom

X

11/23/09

X

6 Wells Fargo Advantage International Value Fund Admin. Cl. N/L-SEP IRA Freedom

X

11/23/09

X

7 Columbia Marsico Focused Equities Fund-Class A M/F-SEP IRA Freedom

X

8/27/09

X

8

9

10

11

12

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART VII. LIABILITIES

Report liabilities over \$10,000 owed by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) Mortgages on your personal residences unless rented; (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.

Report liabilities over \$10,000 owed by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) Mortgages on your personal residences unless rented; (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.				Date Incurred	Interest Rate	Term if Applicable	Category of Amount of Value (x)											
Name of Creditor		Address	Type of Liability				\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	
S, Example: DC, or J		First District Bank	Wash., DC	Mortgage on undeveloped land	1991	13%	25yrs			X		E	X	A	M	P	L	E
		(J) John Jones	Wash., DC	Promissory Note	1999	10%	On dmd				X	E	X	A	M	P	L	E
1	Larry and Sandra Bass		New Hartford, IA	Farm Contract	2007	6.5%	3 years		X									
2																		
3																		
4																		
5																		
6																		
7																		
8																		
9																		
10																		
11																		
12																		

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

☐

## PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

**Exclude:** Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

Name of Organization		Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example:	National Assn. of Rock Collectors	NY, NY <b>EXAMPLE</b>	Non-profit education	President	6 / 90	Present
	Jones & Smith	Hometown, USA <b>EXAMPLE</b>	Law Firm	Partner	7 / 95	11 / 0X
1	Farm - Butler County, IA	New Hartford & Cedar Falls, IA	Family Farm Operation	Proprietor	Life	Life
2	Partnership for a Drug-Free Iowa-Face It Together (PDFIFIT)	Des Moines, IA	Educational	Honorary Advisory Board Member	10/99	Present
3	Iowa's for Right to Work	Des Moines, IA	Non-Profit Labor	Honorary Advisory Board Member	1/89	Life
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						

Compensation in excess of \$200 from any position must be reported in Part II.